



3736

## PATENT

• G254 Docket No. AXIAMD.005CPI  
Date: January 7, 2002

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Andrew H. Cragg, M.D.

Appl. No. : 09/848,556

Filed : May 3, 2001

For : METHODS OF  
PERFORMING  
PROCEDURES IN THE  
SPINE

Examiner : Unknown

Group Art Unit : 3736

I hereby certify that this correspondence and all  
marked attachments are being deposited with the  
United States Postal Service as first class mail in  
an envelope addressed to: Assistant Commissioner  
for Patents, Washington, D.C. 20231, on

January 7, 2002  
(Date)

*Gerard von Hoffman*  
Gerard von Hoffman, Reg. No. 33,043

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## TRANSMITTAL LETTER

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231  
ATTENTION: APPLICATION BRANCH

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) A Supplemental Information Disclosure Statement,
- (X) A PTO Form 1449 with fourteen (14) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

*Gerard von Hoffman*  
Gerard von Hoffman  
Registration No. 33,043  
Attorney of Record

AXIAMD.005CP1

PATENT



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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

The application for which this Supplemental IDS is submitted (United States Patent Application No. 09/848,556) claims priority to United States Patent Application No. 09/782,583, filed February 13, 2001, entitled METHODS AND APPARATUS FOR PERFORMING THERAPEUTIC PROCEDURES IN THE SPINE.

Enclosed is form PTO-1449 listing references, five of which are enclosed. The following nine references, also listed on form PTO-1449 in accordance with 37 C.F.R. § 1.98(d), were previously submitted to the United States Patent and Trademark Office in Application No. 09/782,583 and are not enclosed:

- J.J. Trambert, M.D., "Percutaneous Interventions in the Presacral Space: CT-guided Precoccygeal Approach—Early Experience," (Radiology 1999; 213:901-904).
- R. Johnsson, et al., "Posterolateral Lumbar Fusion Using Facet Joint Fixation With Biodegradable Rods: A Pilot Study," Eur Spine J., (1997) 6:144-148.
- R.P. Louis, M.D., "Anatomy, Physiology, and Biomechanics of the Lumbopelvic Junction," Lumbosacral and Spinopelvic Fusion, Chapter 1 (pp. 1-11) Lippincott-Raven Publishers (1996).
- M.R. Zindrick, M.D., et al., "Clinical Anatomy of the Lumbosacral Junction and Pelvis," Lumbosacral and Spinopelvic Fusion, Chapter 2 (pp. 13-25) Lippincott-Raven Publishers (1996).

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- J.W. Olgilvie, M.D., et al., "Overview of Fixation to the Sacrum & Pelvis in Spinal Surgery," Lumbosacral and Spinopelvic Fusion, Chapter 17 (pp. 191-8) Lippincott-Raven Publishers (1996).
- S.A. Caruso, M.E., et al., "Instrumented Fusions of the Lumbosacral Spine: A Technical Overview," Lumbosacral and Spinopelvic Fusion, Chapter 18 (pp. 199-210) Lippincott-Raven Publishers (1996).
- R.P. Louis, M.D., "Lumbopelvic Fusion," Lumbosacral and Spinopelvic Fusion, Chapter 38, (pp. 479-492) Lippincott-Raven Publishers (1996).
- J. Dove, FRCS, "The Hartshill System for the Front of the Lumbosacral Spine," Lumbosacral and Spinopelvic Fusion, Chapter 42 (pp. 539-543) Lippincott-Raven Publishers (1996).
- P. Kambin, M.D., et al., "Arthroscopic fusion of the Lumbosacral Spine," Lumbosacral and Spinopelvic Fusion, Chapter 44 (pp. 565-577) Lippincott-Raven Publishers (1996).

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

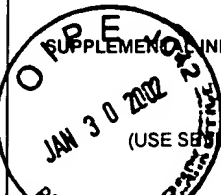
Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 1/7/02

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FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. AXIAMD.005CP1	APPLICATION NO. 09/848,556
 SUPPLEMENTARY INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Andrew H. Cragg, M.D.	
		FILING DATE May 3, 2001	GROUP 3736

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
		4,862,891	09/05/1989	Smith			
		5,403,276	04/04/1995	Schechter, et al.			
		5,433,739	07/18/1995	Sluijter, et al.			
		5,980,504	11/09/1999	Sharkey, et al.			

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	J.J. Trambert, M.D., "Percutaneous Interventions in the Presacral Space: CT-guided Precoccygeal Approach—Early Experience," <u>Radiology</u> 1999; 213:901-904).
	R. Johnsson, et al., "Posterolateral Lumbar Fusion Using Facet Joint Fixation With Biodegradable Rods: A Pilot Study," <u>Eur Spine J.</u> , (1997) 6:144-148.
	R.P. Louis, M.D., "Anatomy, Physiology, and Biomechanics of the Lumbopelvic Junction," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 1 (pp. 1-11) Lippincott-Raven Publishers (1996).
	M.R. Zindrick, M.D., et al., "Clinical Anatomy of the Lumbosacral Junction and Pelvis," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 2 (pp. 13-25) Lippincott-Raven Publishers (1996).
	J.W. Olgilvie, M.D., et al., "Overview of Fixation to the Sacrum & Pelvis in Spinal Surgery," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 17 (pp. 191-8) Lippincott-Raven Publishers (1996).
	S.A. Caruso, M.E., et al., "Instrumented Fusions of the Lumbosacral Spine: A Technical Overview," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 18 (pp. 199-210) Lippincott-Raven Publishers (1996).
	R.P. Louis, M.D., "Lumbopelvic Fusion," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 38, (pp. 479-492) Lippincott-Raven Publishers (1996).
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	P. Kambin, M.D., et al., "Arthroscopic fusion of the Lumbosacral Spine," <u>Lumbosacral and Spinopelvic Fusion</u> , Chapter 44 (pp. 565-577) Lippincott-Raven Publishers (1996).
	B. Jeanneret, et al., "Posterior Stabilization in L5-S1 Isthmic Spondylolisthesis with Paralaminar Screw Fixation: Anatomical and Clinical Results," <u>Journal of Spinal Disorders</u> , Vol. 9, No. 3, pp. 223-233 (1996) Lippincott-Raven Publishers, Philadelphia.

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010702

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	